



## APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES AND HISTORY  
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address Comptroller General's Office Enforcement Division Enforcement Deputy's Office Room 232, State Capitol Atlanta, Georgia 30334	Application Number <b>80-244-A</b>	
Application Number		Date Received <b>JUN 26 1981</b>	Date Completed <b>JUL 9 1981</b>
2. Person to Contact Cathy Karr		Working Title Principal Secretary	Telephone Number 2060
3. Action Requested a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. <b>80-244</b> Check One: <input checked="" type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest      Latest <b>1974</b> <b>present</b>	5. Records Series Title (followed by title used in office, if different) <b>Enforcement Division Investigation Files</b>		
6. Division and Office Function      What is the function of the Division and the Office in which this record series is created?  The Enforcement Division is charged with the responsibility of upholding the duties of the Comptroller General's Office by promulgating all regulations, rendering administrative aid and by taking quasi-judicial action for the Insurance Department, the Industrial Loan Department, and the State Fire Marshal's Office. The Division receives and evaluates all information from all divisions of the Insurance Department before any order or citation is issued by the Commissioner. The Division also considers prepares, and reviews various documents for the Commissioner's signature and for such legal action as may be deemed necessary and administers all the requirements of the Georgia Insurers Insolvency Pool. The Division also handles all such research projects as are referred to it from the Insurance Commissioner or the Chief Deputy Insurance Commissioner, as well as requests for legal assistance or interpretation from other deputy insurance commissioners.			
7. Record Series Description      This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.  Documents relating to: maintaining case files on company investigation and other Enforcement inquiries made to the Division by Comptroller General for disposition, including agency receiverships. Included are: Individual folders for each case containing internal memos transmitting file to the division or other correspondence creating the file; correspondence with the company or subject of the investigation and/or from witnesses or others from whom documentary evidence is being obtained. Copies of working memos; informal conference memos; copies of related legal documents, working papers and supporting documents such as research information, conference notes, etc. copies or orders issued or other correspondence indicating resolution of the matter.  File is arranged: <b>Alphabetically in file drawer and kept by chronological year.</b>			
8. Monthly Reference Rate      How often are records referred to which are: One to six months old <b>100</b> ; Seven to twelve months old <b>100</b> ; Thirteen to twenty-four months old <b>25</b> ; twenty-five months and older <b>5</b> ?			
9. Annual Rate of Accumulation of Records Letter-size drawers _____; Legal-size drawers <b>8</b> ; Shelves _____; Other (specify) _____			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
X		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. Acts, 1960, pp. 289, Acts 1949, p. 1057, et seq. Acts 1969, no. 379
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

#### 11. Retention Requirements

The following requires the series to be kept:

a. State Law	0 years.	d. Audit period	0 years.
b. Statute of limitation	2 years.	e. Administrative need	10 years.
c. Federal law	0 years.	f. Federal retention instructions	0 years.

Attach copy or excerpt of laws or regulations. Explain administrative need.

In some instances, company has two years to appeal case.  
In order to maintain proper adm. records/history of companies against whom investigation for possible action or adm. action has been taken. (Ex. Order drawn on company as a result of investigation. If file was destroyed and company had violated code thereafter, would not know.)

12. Approved Disposition Instructions This agency recommends that the file series be cut off at the end of each: why action was then, taken.

- ☒ Calendar Year; ☐ Fiscal Year; ☐ Other \_\_\_\_\_
- ☒ Hold in the current files area \_\_\_\_\_ month(s) 2 year(s); then
- ☐ Transfer to local holding area, hold \_\_\_\_\_ year(s); then
- ☒ Transfer to State Records Center; hold 8 year(s); then
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

When case is closed, remove folder from active file and place in inactive files; cut off inactive file at end of each calendar year; hold in current files area two years, then transfer to State Records Center; hold 8 years, then destroy.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Jerry Holbrook</i>	6-15-81	<i>Fred Anderson</i>	6-24-81
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
State Auditor/Designee		<i>Carroll Hart</i>	7-7-81
Secretary of State/Designee		<i>Harry Pluggert</i>	7-6-81
Attorney General/Designee			7-8-81



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FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date <b>4-2-80</b>	1. Agency Address <b>Comptroller General's Office Enforcement Division Enforcement Deputy's Office Room 232 State Capitol Atlanta, Georgia 30334</b>	Application Number <b>80-244</b>	
Application Number		Date Received <b>APR 02 1980</b>	Date Completed <b>APR 15 1980</b>
2. Person to Contact <b>Cathy Karr</b>		Working Title <b>Secretary</b>	Telephone Number <b>656-2060</b>
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest <b>1974</b> Latest <b>present</b>		5. Records Series Title (followed by title used in office, if different) <b>Enforcement Division Investigation Files</b>	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? <p>The Enforcement division is charged with the responsibility of upholding the duties of the Comptroller General's Office by promulgating all regulations, rendering administrative aid and by taking quasi-judicial action for the Ins. Depart., the Industrial Loan Dept., and the State Fire Marshal's Office. The division receives and evaluates all information from all divisions of the Ins. Dept. before any order or citation is issued by the Commissioner. The division also considers, prepares, and reviews various documents for the Commissioner's signature and for such legal action as may be deemed necessary and administers all the requirements of the Ga. Insurers Insolvency Pool. The division also handles all such research projects as are referred to it from the Ins. Commissioner or the Chief Deputy Ins. Commissioner, as well as requests for legal assistance or interpretation from other deputy insurance commissioners.</p>			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): <p><b>Maintain Attach</b> samples of the file. Documents relating to <b>Case files on company investigation and other Enforcement inquiries made to the Division by Comptroller General for disposition, including agency receiverships.</b>  Included are: Individual folders for each case containing internal memos transmitting file to the division or other correspondence creating the file; correspondence with the company or subject of the investigation and/or from witnesses or others from whom documentary evidence is being obtained. Copies of working memos; informal conference memos; copies of related legal documents, working papers and supporting documents such as research information, conference notes, etc. copies of orders issued or other correspondence indicating resolution of the matter.</p> <p>File is arranged: <b>Alphabetically in file drawer and kept by chronological year.</b></p>			
8. Monthly Reference Rate How often are records referred to which are: One to six months old <b>100</b> ; Seven to twelve months old <b>100</b> ; Thirteen to twenty-four months old <b>25</b> ; twenty-five months and older <b>5</b> ?			
9. Annual Rate of Accumulation of Records Letter-size drawers _____; Legal-size drawers <b>8</b> ; Shelves _____; Other (specify) _____			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
<input checked="" type="checkbox"/>	<input type="checkbox"/>	a. Is this the official copy of the series? If not, where is it?
<input checked="" type="checkbox"/>	<input type="checkbox"/>	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. Acts, 1960, pp. 289, Acts 1949, p. 1057, et seq., Acts 1969, no. 379
<input type="checkbox"/>	<input checked="" type="checkbox"/>	c. Is this a vital record?
<input type="checkbox"/>	<input checked="" type="checkbox"/>	d. Does this series have historical or long term research value?
<input type="checkbox"/>	<input checked="" type="checkbox"/>	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
<input type="checkbox"/>	<input checked="" type="checkbox"/>	f. Is the information contained in this series ever published? If yes, attach copy.
<input type="checkbox"/>	<input checked="" type="checkbox"/>	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
<input type="checkbox"/>	<input checked="" type="checkbox"/>	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
<input type="checkbox"/>	<input checked="" type="checkbox"/>	i. Is this series (or a major portion of it) regularly microfilmed?
<input type="checkbox"/>	<input checked="" type="checkbox"/>	j. Does the record series result in a computer printout?

#### 11. Retention Requirements

The following requires the series to be kept:

a. State Law	<u>0</u> years.	d. Audit period	<u>0</u> years.
b. Statute of limitation	<u>2</u> years.	e. Administrative need	<u>6</u> years.
c. Federal law	<u>0</u> years.	f. Federal retention instructions	<u>0</u> years.

Attach copy or excerpt of laws or regulations. Explain administrative need.

In some instances, company has two years to appeal case.

#### 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☒ Calendar Year; ☐ Fiscal Year; ☐ Other \_\_\_\_\_ then,

- ☒ Hold in the current files area \_\_\_\_\_ month(s) 2 year(s); then
- ☐ Transfer to local holding area, hold \_\_\_\_\_ year(s); then
- ☒ Transfer to State Records Center; hold 4 year(s); then
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

When case is closed, remove folder from active file and place in inactive files; cut off inactive file at end of each calendar year; hold in current files area 2 years; then transfer to State Records Center; hold 4 years, then destroy, except that Records Center will transfer all files for years ending in 4 to the Archives for permanent retention.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Jerry Holbrook</i>	<i>3/31/80</i>	<i>Fred Anderson</i>	<i>4-2-80</i>
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
		<i>Carroll Hart</i>	<i>4-11-80</i>
		<i>Al White</i>	<i>4-9-1980</i>
		<i>Al White</i>	<i>4/14/80</i>